

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT** ( Not for submission under 37 CFR 1.99)

Application Number 10714523

Filing Date 2003-11-14

First Named Inventor Houle, et al.

Art Unit 2623

Examiner Name Unknown

Attorney Docket Number 5053-00507

## **U.S. PATENTS**

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TXL	1	3806704		1974-04-23	Shinal	_____
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TXL	3	5454046		1995-09-26	Carman, II	_____
TXL	4	5680470		1997-10-21	Moussa et al.	_____
TXL	5	5710916		1998-01-20	Barbara et al.	_____
TXL	6	5757960		1998-05-26	Murdock et al.	_____
TXL	7	5828772		1998-10-27	Kashi et al.	_____
TXL	8	5909500		1999-01-06	Moore	_____

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TX	9	5995953		1999-11-30	Rindtorff et al.	—
TX	10	6084985		2000-04-07	Dolfing et al.	—
TX	11	6108444		2000-08-22	Syeda-Mahmood	—
TX	12	6157731		2000-12-05	Hu et al.	—
TX	13	6236740		2001-05-22	Lee	—
TX	14	6393138		2002-05-21	Chai	—
TX	15	6249604		2001-06-19	Huttenlocher et al.	—
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TEL	1	20070110312		2007-05-11	Houle et al.	
TEL	2	20040218801		2004-11-04	Houle et al.	
TEL	3	20040228514		2004-11-18	Houle et al.	
TEL	4	20040223637		2004-11-11	Houle et al.	
TEL	5	20040237047		2004-11-25	Houle et al.	
TEL	6	20070110313		2007-05-11	Houle et al.	
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<b>Form PTO-1449</b> (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5053-00507	SERIAL NO. 10/714,523
	APPLICANT: Houle et al.	CONF. NO.: 2227
	FILING DATE: November 14, 2003	ART UNIT: 2623

### U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE

### FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
TYL	A1	GB 2 271 657	04/20/1994	UK			

### OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

TYL	A2	Dijkstra et al., "IRIS An Image Recognition and Interpretation System for the Dutch Postbank", Sep. 3, 2000, pp. 23-26, Pattern Recognition, 2000 Proceedings.					
TYL	A3	Knerr et al., "Hidden Markov Model Based Word Recognition and Its Application to Legal Amount Reading on French Checks", June 1998, pp. 404-419, Computer Vision and Image Understanding, vol. 70, No. 3.					
TYL	A4	Suen et al., "Automatic Recognition of Handwritten Data on Cheques-Fact or Fiction?", Nov. 1999, pp. 1287-1295, Pattern Recognition Letters, North-Holland Publ., Amsterdam, NL, vol. 20, no. 11-13.					
TYL	A5	Srihari et al., "Document Image-Processing System For Name and Address Recognition", Dec. 21, 1996, pp. 379-391, International Journal of Imaging Systems and Technology, Wiley and Sons, New York, vol 7, no. 4.					
TYL	A6	Kaufmann et al., "Amount Translation and Error Localization in Check Processing Using Syntax-Directed Translation," 1998, pp. 1530-1534, Proc. Int. Conf. on Pattern Recognition, Brisbane, Australia.					
TYL	A7	International Search Report for European Application No. 03005807.7 mailed May 20					
TYL	A8	Office Communication for European Application No. 03005807.7 mailed March 9					

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Information Disclosure Statement--PTO 1449 (modified)

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<b>U.S. PATENT DOCUMENTS</b>								
EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
TYL	A10	10/735,280 (specification and figures same as above referenced application)	12/12/2003	Houle et al.				
TYL	A11	10/734,738 (specification and figures same as above referenced application)	12/12/2003	Houle et al.				
TYL	A12	10/741,156 (specification and figures same as above referenced application)	12/19/2003	Houle et al.				
TYL	A13	10/741,157 (specification and figures same as above referenced application)	12/19/2003	Houle et al.				
<b>FOREIGN PATENT DOCUMENTS</b>								
EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO	
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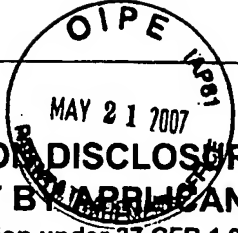
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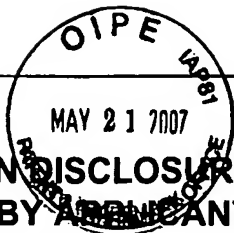
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Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>5</sup>
TEL	1	R1. Arazi, B.: 1977, Handwriting identification by means of run-length measurements, IEEE Trans. Syst., Man and Cybernetics SMC-7 (12), 878-881.	<input type="checkbox"/>
TEL	2	R2. Arazi, B.: 1983, Automatic handwriting identification based on the external properties of the samples, IEEE Trans. Syst., Man and Cybernetics SMC-13 (4), 635-642.	<input type="checkbox"/>
TEL	3	R3. Drouhard, J., Sabourin, R. and Godbout, M.: 1995, A comparative study of the k nearest neighbours, threshold and neural network classifiers for handwritten signature verification using an enhanced directional pdf, Proc. of the 3rd International Conference on Document Analysis and Recognition, Montreal, Canada, pp. 807-810.	<input type="checkbox"/>
TEL	4	R4. Klement, V.: 1983, An application system for the computer-assisted identification of handwriting, Proc. Int. Carnahan Conf. on Security Technol., Zurich, Switzerland, pp. 75-79.	<input type="checkbox"/>
TEL	5	R5. Kondo, S. and Attachoo, B.: 1986, Model of handwriting process and its analysis, Proc. ICPR, pp. 562-565.	<input type="checkbox"/>
TEL	6	R6. Maarse, F., Schomaker, L. and Teulings, H.L.: 1988, Automatic identification of writers, in G. van der Veer and G. Mulder (eds), Human-Computer Interaction: Psychonomic Aspects, Springer, New York, pp. 353-360.	<input type="checkbox"/>
TEL	7	R7. Maarse, F. and Thomassen, A.: 1983, Produced and perceived writing slant: differences between up and down strokes, ACTA Psychologica 54 (1-3), 131-147.	<input type="checkbox"/>
TEL	8	R8. Plamondon, R. and Srihari, S.N.: 2000, On-line and off-line handwriting recognition: a comprehensive survey, IEEE Transactions on Pattern Analysis and Machine Intelligence 22 (1), 63-84.	<input type="checkbox"/>
TEL	9	R9. Plamondon, R. and Lorette, G.: 1989, Automatic signature verification and writer identification-the state of the art, Pattern Recognition 22 (2), 107-131.	<input type="checkbox"/>

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TYL	10	R10. Sabourin, R. and Drouhard, J.: 1992, Off-line signature verification using directional pdf and neural networks, Proc. of the 11th International Conference on Pattern Recognition (ICPR 1992), The Hague, Netherlands, pp. 321-325.	<input type="checkbox"/>
TYL	11	R11. Said, H., Peake, G., Tan, T. and Baker, K.: 1998, Writer identification based on handwriting, Pattern Recognition 33 (1), 149-160.	<input type="checkbox"/>
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TYL	15	R15. Bajaj, R. and Chaudhury, S., "Signature Verification Using Multiple Neural Classifiers," Pattern Recognition, vol. 30, no. 1, pp. 1-7, 1997.	<input type="checkbox"/>
TYL	16	R16. Bauer, F. and Wirtz, B., "Parameter Reduction and Personalized Parameter Selection for Automatic Signature Verification," Proc. 3rd International Conference Document Analysis and Recognition (ICDAR '95), pp. 183-186, Montreal, Aug. 1995.	<input type="checkbox"/>
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TYL	20	R20. Dehghan, M., Faez, K. and Fathi, M., "Signature Verification Using Shape Descriptors and Multiple Neural Networks," Proc. IEEE TENCON-Speech and Image Technologies for Computing and Telecommunications Conf., vol. 1, pp. 415-418, 1997.	<input type="checkbox"/>





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TEL	21	R21. Dolfing, J.G.A., Aarts, E.H.L. and Van Oosterhout, J.J.G.M., "On-Line Verification Signature with Hidden Markov Models," Proc. 14th International Conference Pattern Recognition, pp. 1,309-1,312, Brisbane, Australia, Aug. 1998.	<input type="checkbox"/>
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TEL	24	R24. Guillevic, D. and Suen, C.Y., "HMM-KNN Word Recognition Engine for Bank Cheque Processing," Proc. 14th International Conference Pattern Recognition, pp. 1,526-1,529, Brisbane, Australia, Aug. 1998.	<input type="checkbox"/>
TEL	25	R25. Guo, J.K., Doermann, D. and Rosenfeld, A., "Local Correspondence for Detecting Random Forgeries," Proc. 4th International Conference Document Analysis and Recognition (ICDAR '97), pp. 319-323, Ulm, Germany, Aug. 1997.	<input type="checkbox"/>
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TEL	31	R31. Mackowiak, J., Schomaker, L.R.B. and Vuurpijl, L., "Semi-Automatic Determination of Allograph Duration and Position in On-Line Handwriting Words Based on the Expected Number of Strokes," Progress in Handwriting Recognition. A.C. Downton and S. Impedovo, eds., London: World Scientific, 1997.	<input type="checkbox"/>



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TYL	32	R32. Olivier, C., Paquet, T., Avila, M. and Lecourtier, Y., "Optimal Order of Markov Models Applied to Bankchecks," International Journal Pattern Recognition and Artificial Intelligence, vol. 11, no. 5, pp. 789-800, 1997.	<input type="checkbox"/>
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TKL	43	R43. de Jong, W., Kroon van der Kooij, L. and Schmidt, D.: 1994, Computer aided analysis of handwriting, the NIFO-TNO approach, Proc. of the 4th European Handwriting Conference for Police and Government Handwriting Experts.	<input type="checkbox"/>
TKL	44	R44. Huber, R.A. and Headrick, A.: 1999, Handwriting Identification: Facts and Fundamentals, CRC Press, Boca Raton.	<input type="checkbox"/>
TKL	45	R45. Klement, V.: 1981, Forensic writer recognition, in J. Simon and R. Haralick (eds), Proc. NATO Adv. Stud. Inst., pp. 519-524.	<input type="checkbox"/>
TKL	46	R46. Klement, V., Steinke, K. and Naske, R.: 1980, The application of image processing and pattern recognition techniques to the forensic analysis of handwriting, Proc. 1980 Int. Conf. Security through Sci. Engin., West Berlin, Germany, pp. 5-11.	<input type="checkbox"/>
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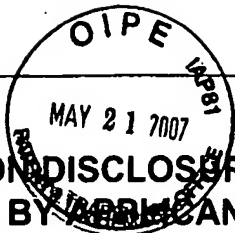
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TYL	1	R51. Said, H., Peake, G., Tan, T. and Baker, K.: 1998, Writer identification from non-uniformly skewed handwriting images, Proc. of the 9th British Machine Vision Conference, pp. 478-487.	<input type="checkbox"/>
TYL	2	R52. Schomaker, L. and Vuurpijl, L.: 2000, Forensic writer identification: A benchmark data set and a comparison of two systems [internal report for the Netherlands Forensic Institute], Technical report, Nijmegen: NICI.	<input type="checkbox"/>
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TYL	4	R54. Dimauro, G., Impedovo, S., Pirlo, G. and A. Salzo, "Automatic Bankcheck Processing: A New Engineered System," Machine Perception and Artificial Intelligence, S. Impedovo, P.S.P. Wang, and H. Bunke, eds., vol. 28, pp. 5-42, World Scientific, 1997.	<input type="checkbox"/>
TYL	5	R55. Forte, A.M. and Impedovo, S., "A New Adaptive Neural Network for an Off-Line Signature Verification System," Proc. Int'l Conf. Pattern Recognition, pp. 355-363, 1996.	<input type="checkbox"/>
TYL	6	R56. Pattern Recognition, special issue on automatic signature verification, R. Plamondon, ed., vol. 8, no. 3, June 1994.	<input type="checkbox"/>
TYL	7	R57. Plamondon, R., Guerfali, W. and M. Lalonde, "Automatic Signature Verification: A Report on a Large-Scale Public Experiment," Proc. Ninth Biennial Conf. Int'l Graphonomics Soc., pp. 9-13, Singapore, June 1999.	<input type="checkbox"/>
TYL	8	R.58 Forensic, Developmental, and Neuropsychological Aspects of Handwriting, special issue, J. Forensic Document Examination, M. Simner, W. Hulstijn, and P. Girouard, eds.,	<input type="checkbox"/>

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Examiner Signature		Date Considered	2/6/08
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> See Kind Codes of USPTO Patent Documents at [www.USPTO.GOV](http://www.USPTO.GOV) or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

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## Title of Invention

SYSTEMS AND METHODS FOR ASSESSING DOCUMENTS  
USING ANALYSIS OF MACHINE-PRINTED WRITING AND  
PRE-PRINTED INFORMATION

Application Number : 10/714523



Confirmation Number: 2227

First Named Applicant: Gilles Houle

Attorney Docket Number: 5053-00507

Art Unit: 2623

Examiner: Unknown Unknown

Search string: ( 5454046 or 5680470 or 5710916 or 5828772 or 5909500 or 5995953 or 6084985  
or 6108444 or 6157731 or 6249604 ).pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
TL	1	5454046	1995-09-26	Carman, II			
TL	2	5680470	1997-10-21	Moussa et al.			
TL	3	5710916	1998-01-20	Barbara et al.			
TL	4	5828772	1998-10-27	Kashi et al.			
TL	5	5909500	1999-06-01	Moore			
TL	6	5995953	1999-11-30	Rindtorff et al.			
TL	7	6084985	2000-07-04	Dolfing et al.			
TL	8	6108444	2000-08-22	Syeda-Mahmood			
TL	9	6157731	2000-12-05	Hu et al.			
TL	10	6249604	2001-06-19	Huttenlocher et al.			

## Remarks

Note: Remarks are not for responding to an office action.

Should any fees be required, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert and Goetzel, P.C. Deposit Account No. 50-1505/5053-00507/EBM.

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2/6/03